

Havells India

IT Asset Management Policy

Version 1.0

Havells India Limited Havells India IT Asset Management Policy Version 1.0 Internal	
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Document Scope

This document shall be applicable to the IT Department and the employees/Third Parties referred henceforth shall include the staff working with IT department and/or handling, processing, and managing information/information assets of Havells.

Document Distribution

The Information Security Head shall distribute this policy to all employees working with IT department and/or handling, processing, and managing information/information assets of Havells by uploading it on the intranet/by sharing it via email/as appropriate.

Document Conventions

All statements in the document are mandatory requirements. Failure to observe these requirements may be construed as non-compliance to the policy.

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1. Purpose

This policy intends to establish guidelines for so as to ensure management and protection of IT information assets (tangible and intangible) of Havells India.

1.1 Scope

This policy shall be applicable to the IT department and the employees/Third Party who deal with Havells' IT and/or handle, process or manage information/information assets of Havells.

1.2 Responsibility

It is the responsibility of the IT Team and respective or concerned business/functional team to implement and maintain the guidelines as defined in the Asset Management Policy.

1.3 Enforcement

All Employees and/or Third Party, who deal with Havells' IT and/or handle, process or manage information/information assets of Havells, must comply with this policy. All statements in the document are mandatory requirements. Failure to observe these requirements may be construed as non-compliance to the policy.

- a) Non-compliance with this policy shall be dealt with in accordance with the approved management process.
- b) Employees and Third Parties who breach this policy shall be subject to disciplinary action.

Requests for deviations from this policy must be documented and managed using the approved process. Any requests for deviations from this policy must be approved in accordance with the *Security Exception Management Policy*.

1.4 Authority

The Chief Information Officer (CIO) and Information Security Head approves and enforces this policy and mandates processes to monitor and ensure compliance to this Policy.

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2. Policy

This policy intends to establish guidelines to ensure management and protection of IT assets (tangible and intangible) of Havells India.

2.1 Types of Assets

All IT assets in Havells can be broadly classified into two categories: tangible assets and intangible assets.

- a) Tangible Assets examples : hardware/physical assets such as Desktops , laptops, servers, Network devices ; and
- b) Intangible assets do not exist in physical form and include things like electronic/digital documents/records, software assets such as applications, MS Office, any other software installed on servers/workstations, etc.;

2.2 Inventory of assets

Commercial Head at particular location is accountable for maintaining the IT asset inventory (workstations, printers, scanners, UPS) being used or managed at their respective locations. The IT Asset Inventory shall include details about the asset such as asset date of purchase and cost of assets as at book value.

2.3 Responsibility for assets

- a) Commercial team at each location (in conjunction with Administration function) shall be responsible for maintaining the IT asset register as defined in section 2.2.
- b) Commercial Head at each location in conjunction with Administration function shall ensure that the assets are secured against physical and environmental threats.
- c) HO Assets controller shall also ensure that the IT asset inventory is updated on as and when basis / periodically for all Havells locations.
- d) IT team at HO will ensure the security of the IT assets inside the server room, networking device, the data in the server and the licenses installed in the servers and the workstations.
- e) All procurement should be done after approval of IT Purchase committee/as per DOA.
- f) Commercial team at each HIL Location is responsible for placing the purchase order after taking necessary approvals from concerned authority.
- g) Commercial team at each location should update the IT Asset Inventory for Capital Asset on as and when basis and he should update HO Asset controller for necessary updation in Asset register.

2.3.1 Acceptable use of assets

Employees using the information assets or accessing the information processing facilities shall understand and follow the specific rules or guidance given by the management in Havells' Acceptable Usage Policy document to ensure the protection of information assets owned by Havells.

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Refer: Acceptable Usage Policy

2.4 Asset Labelling Guidelines

Designated employee / commercial team to ensure that assets are labelled, and the label is visible on the asset;

Refer: Havells Capex SOP

2.5 Handling of assets

2.5.1 Software Asset Management

- a) Software Asset management includes the following, but not limited to:
 - i. Maintaining software license compliance;
 - ii. Tracking the inventory and usage of software assets;
 - iii. Maintaining control over the deployment and use of software assets;
- b) Original physical copy of the license received from the vendor, if any, on purchase shall be filed appropriately and stored securely;
- c) It is the responsibility of respective IT Functional owner to get the software license compliance reconciliation on a annual basis/at the time of its procurement/renewal.
- d) In case software license agreements are found to be violated, the CIO/ IT Head/Information Security Head shall be informed by respective IT functional owner and immediate corrective actions will be taken as applicable;
- e) Software purchases and related data shall be tracked and regularly monitored by the designated IT Team in consultation with the concerned business team to determine, but not limited to, the following:
 - i. If more licenses have been purchased than required;
 - ii. If multiple software has been deployed with overlapping functionality to serve the same purpose;
 - iii. If new software or a greater number of licenses need to be procured to meet future business requirements; and
 - iv. Designated IT Team in consultation with the concerned functional team shall conduct annual review of servers and desktops to determine if any unauthorized and unlicensed software are installed.

2.5.1.1 Managing software licenses

- a) Acquisition of software
 - i. All software (whether purchases shrink wrapped or electronically) shall be ordered through corporate IT team to ensure compliance with the software applications installation guidelines and to enable volume price discounts;

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- ii. All software acquired for use in connection with firm business activities shall be owned by the firm and used in compliance with these guidelines and respective software license agreements;
 - iii. It shall be the responsibility of corporate IT team to maintain the licenses procured by the company for all authorized software's and licenses issued to each plant and office location; Also Procurement details, such as number of licenses granted, expiry date of licenses, etc., of software purchased shall be recorded in a centralized repository / portal by the IT Team and respective or concerned business/functional team;
 - iv. All IT procurements shall be approved as per DOA.
- b) Document license tracking
- i. Designated IT Manager & designated SAP Basis Manager should review the client and server software used in the organization on a quarterly basis. The illustrative example of client and server software would be:
 - A. Client Software: MS Office, Acrobat writer, 7zip etc
 - B. Server Software: SAP, E-mail etc
 - ii. The identified client and server software should be updated. . It is the responsibility of designated IT manager & designated SAP Basis Manager to document the license tracking sheet and prepare license compliance summary.
- c) New software procurement
- i. Designated IT Manager should update IT Helpdesk team and/or system administrator whenever a new software or additional licenses for a software are procured.
- d) New Laptop / Desktop issuance to user
- i. Designated IT Manager should update the license tracking sheet
- Note: Integration of all types of procurement managed by different team within IT has to be centralized for its consolidation purpose in due Course.
- e) Use of “freeware” or “unauthorised” software is restricted as per company policy.
- f) Installation of software
- i. All software installations and updates thereto should be handled by, or under the guidelines of IT team.
 - ii. Do not share, loan, or give to anyone (including clients, vendors, family members etc.) any licensed software of Havells.
- g) Unauthorized software use
- i. Installation of non-firm standard software may impair the operations of end user's personal computer or create inadvertent security risks to firm and client data. Peer-to-peer file sharing program that enable downloading of music or any content from Internet should not be installed on company provided desktop / laptop due to security and copyright concerns;

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- ii. Download of software from Internet: Users are prohibited from downloading any software installation files in any file format without permission from the IT.

2.5.1.2 Software license compliance

- a) IT Helpdesk team should perform the desktop / laptop review for all users in Havells to prepare user wise inventory of installed software
- b) During review, IT Helpdesk team should check in case if any unauthorized software is installed on end users' machine. If any unauthorized software is installed, it should be immediately uninstalled from users' machine and the same shall be reported to User, User's HOD, IT Infra Head;
- c) IT helpdesk Team will consolidate the report and submit to IT Manager for his review;
- d) IT Manager should review the report provided by helpdesk & own software license tracking sheet to check if there is any software non-compliance in the organization;
- e) In case of software license non-compliance, IT Manager should identify users with no business requirement of software and uninstall the licensed software from identified user machines;
- f) After uninstallation of software from identified end users' machines, IT Manager should review if additional licenses for selected software needs to be procured. If additional software license procurement is required, the same shall be reviewed and approved as per DOA; and
- g) After approval from IT Purchase Committee, additional software licenses should be procured as per IT procurement process. IT Manager should update license tracking sheet after procurement of additional licenses.

2.5.2 Hardware Asset Management

Designated controller / commercial team / IT Manager shall be identified for all the assets and they will be responsible for successful execution and completion of the following activities which includes:

- a) Maintaining the asset;
- b) Safeguarding the asset and asset documentation;
- c) Renewing any contracts/ agreements/ licenses associated with the asset at required intervals (Coordinated with respective department & Finance Department);
- d) Conducting periodic review to ensure compliance to Havells' policies and procedures;
- e) Safeguarding all media, if applicable (Hard disks or other storage media used to install the software/ store data) associated with the asset; and
- f) Maintaining original manuals and reference documentation (if any).

2.5.2.1 Hardware/Equipment Maintenance

- a) Periodic hardware/equipment maintenance shall be handled by IT team and respective or concerned business/functional team and/or administration team to ensure that all hardware/equipment is maintained as per the manufacturer's specifications;

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- b) At the end of warranty period, an Annual Maintenance Contract (AMC) shall be drawn with the third-party vendor / OEM for hardware/equipment at Havells. A scheduled inspection and maintenance chart with equipment/hardware details, frequency, responsibility etc. shall be maintained and updated periodically ;
- c) In the event of a failure of service from the vendor, the escalation process as specified in the Incident Management Policy will be followed.

Refer: Incident Management Policy

2.5.2.2 Process for Hardware/Equipment Repairs

- a) Identification:
 - i. Any requirement for equipment/hardware repair observed by employees on workstations, laptops, p etc. shall be reported to respective or concerned business/functional team/IT team;
 - ii. The respective business/functional team shall be responsible for recording the problem, prioritizing the requests, and reporting the same to the concerned Functional / IT team
- b) Resolution:
 - i. The Third-Party vendor shall be consulted for all equipment repairs under warranty;
 - ii. In the event of a repair wherein the equipment needs to be sent off-premises, appropriate authorization will be taken from the IT Team and respective or concerned business/functional team. Respective business/functional team/IT team shall maintain a record of the equipment sent off-premises for repair. At a minimum the following details shall be entered in the Outgoing Materials Register:
 1. Serial number;
 2. Reason for equipment to be sent off-premises;
 3. Authorization from approved authority; and
 4. Vendor details including contact name, address, and telephone number.
 - iii. In case a Third-Party, such as a document management company or a courier service is used for transport of electronic media, it shall be adequately protected. Electronic media in transit shall be properly packed & sealed to prevent damage;
 - iv. On return of equipment, the IT Department shall ensure that the equipment is tested/ checked for security clearance (wherever applicable) before hand over to user ;
 - v. For critical servers and equipment, resolution shall be performed within the premises and defective item shall be sent back. In case the equipment is required to be moved out of the premises, an approval shall be taken from the IT Team and respective or concerned business/functional team;
 - vi. The Maintenance record shall be updated by the IT Team with the repair call including the resolution mechanism.

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Refer: Havells Capex Policy

2.6 Disposal or transfer of equipment/hardware

- a) Equipment shall be disposed (transferred or scrapped) in case, but not restricted to:
 - i. The equipment has reached end of life;
 - ii. The equipment does not suit the environment.
- b) Critical infrastructure equipment which is required to be disposed-off such as servers, network security equipment etc. shall be approved with valid justification by IT Team. Exceptions to the same can be implemented based on IT PC / DOA
- c) Any information that resides in the asset shall be removed from the equipment before disposal/transfer/scrapping;
- d) The list of equipment/hardware, which are being disposed, shall be removed, or deleted or updated from Asset register;

Refer: Capex SOP

- e) Items to be disposed-off will be informed to commercial team / HO asset controller
- f) List of equipment- disposed/ transferred/ scrapped shall be maintained separately by the IT Team and respective or concerned business/functional team.

Refer: Havells Capex Policy

2.7 Addition/Removal /Changes of Information Assets

- a) New information assets deployed must have all the required features and functionalities to comply with Havells' information security requirements;
- b) New information assets shall only be installed post security deployment approval from IT department;
- c) All information assets, operations and services shall be subjected to appropriate change management controls defined by IT department; and
- d) Prior to removal of asset, approval shall be taken from Security team.

Refer: Havells Capex Policy

2.8 IT Assets E-Waste Management

E-waste means electrical and electronic equipment, whole or in part discarded as waste by the consumer or bulk consumer as well as rejects from manufacturing, refurbishment and repair processes.

- a) E-waste shall not be stored for more than 180 days

Producer means any person who, irrespective of the selling technique used such as dealer, retailer, e-retailer, etc.;

- b) Manufactures and offers to sell electrical and electronic equipment and their components or consumables or parts or spares under its own brand; or

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- c) Offers to sell under its own brand, assembled electrical and electronic equipment and their components or consumables or parts or spares produced by other manufacturers or suppliers;
or
- d) Offers to sell imported electrical and electronic equipment and their components or consumables or parts or spare.

Bulk consumer means bulk users of electrical and electronic equipment such as Central Government or State Government Departments, public sector undertakings, banks, educational institutions, multinational organizations, international agencies, partnership and public or private companies that are registered under the Factories Act, 1948 (63 of 1948) and the Companies Act, 2013 (18 of 2013) and health care facilities which have turnover of more than one crore or have more than twenty employees.

Refer: E-Waste SOP for E-waste management procedure